



STATE OF TENNESSEE  
**DEPARTMENT OF COMMERCE AND INSURANCE**

Financial Affairs Section / Analytical Unit 0576  
500 James Robertson Parkway, 4<sup>TH</sup> Floor  
Nashville, Tennessee 37243  
(615) 741-1633

**SELF-INSURERS' QUALIFICATION REQUIREMENTS**

Effective: November 28, 2006

Tenn. Code Ann. §50-6-405

A company applying to be a workers' compensation self-insurer in the State of Tennessee must provide the following information:

1. A \$500 non-refundable application fee, pursuant to Tenn. Code Ann. §50-6-405(b), Tenn. Code Ann. §56-4-101(2)(1) and Tenn. Comp. R. & Regs. 0780-1-83-.04(1).
2. Completed, signed, and notarized application, pursuant to Tenn. Comp. R. & Regs. 0780-1-83-.04(1). The biographical affidavit on all officers and director listed on the application (Item # 4), can be located at [http://www.naic.org/documents/industry\\_ucaa\\_form11.pdf](http://www.naic.org/documents/industry_ucaa_form11.pdf).
3. Premium Tax will be assessed at the rate of 4.4% pursuant to Tenn. Code Ann. §50-3-101, Tenn. Comp. R. & Regs. 0780-1-83-.10(1) and Tenn. Code Ann. §56-4-207. Please note that applications for self insurance received by this division prior to June 30 require submission of prior year end payroll reports and applications received after June 30 requires submission of estimated payroll reports for that year.
4. Applicant should have a minimum of \$350,000's workers compensation premium in Tennessee State, pursuant to Tenn. Comp. R. & Regs. 0780-1-83-.04(3)(h).
5. Minimum security of \$500,000. The security may be in the following specified forms: negotiable securities, certificate of deposit, surety bond, or a letter of credit. A depository agreement must be completed for certificates of deposit or negotiable securities pursuant to Tenn. Code Ann. §50-6-405(b)(1).
6. An excess insurance policy is required and should contain both specific and aggregate features. Pursuant to Tenn. Comp. R. & Regs. 0780-1-83-.06(1), "an employer shall obtain and maintain excess insurance, both specific and aggregate in an amount sufficient to cover its liabilities for losses not paid by the employer and as set by a qualified actuary."
7. Three most recent years of loss runs as of December 31, 20XX pursuant to Tenn. Comp. R. & Regs. 0780-1-83-.04(2)(b)(iii).
8. Three most recent years of Audited Financial Statements pursuant to Tenn. Comp. R. & Regs. 0780-1-83-.04 (2)(a) and (3)(h).
  - a. Must have positive working capital
  - b. Must have positive net worth
9. Three most recent years of experience modifications ("EM") if the company has been in business in Tennessee for more than 3 years. If the company is new and has just established business in Tennessee, the EM rating will set at 1.00 rather than considering the interstate rating. All EM must be on a calendar year basis and effective January 1 pursuant to Tenn. Comp. R. & Regs. 0780-1-83-.04(3)(h).
10. Actuarial Opinion – Feasibility study pursuant to Tenn. Comp. R. & Regs. 0780-1-83-.04(3)(h).
11. Listing of all locations, addresses including zip codes, and number of employees at each location pursuant to Tenn. Comp. R. & Regs. 0780-1-83-.04(2)(b)(iv) and (3)(h).
12. Name, address, phone, and e-mail of the person in Tennessee who is responsible for handling claims, pursuant to Tenn. Code Ann. §50-6-413.
13. Third party administrator (if applicable), pursuant to Tenn. Comp. R. & Regs. 0780-1-83-.04(2)(c)(1)(i).
14. Completed Anti-Fraud Plan, pursuant to Tenn. Comp. R. & Regs. 0780-1-83-.04(3)(h) and in accordance with Tenn. Code Ann. §56-47-112. These documents are Confidential by statute.
15. Parent guarantee, pursuant to Tenn. Comp. R. & Regs. 0780-1-83-.04(4)
16. Federal Employer Identification Number (FEIN), Tenn. Comp. R. & Regs. 0780-1-83-.04(3)(h).

Self-Insured Workers Compensation -- Single Employer  
Admission Application Checklist

Company Name \_\_\_\_\_ FEIN # \_\_\_\_\_  
 Address \_\_\_\_\_  
 City \_\_\_\_\_ ST \_\_\_\_\_ Zip \_\_\_\_\_  
 Contact Person \_\_\_\_\_ Phone: \_\_\_\_\_ E-mail \_\_\_\_\_  
 Incorporated in TN \_\_\_\_\_ Self-Insurance Effective Date \_\_\_\_\_

Items filed	DESCRIPTIONS
<input checked="" type="checkbox"/> 1	Application fee \$500, TCA 50-6-405(b) and Tenn. Comp, R. & Reg. Ch. 0780-1-83-.04(1)
<input checked="" type="checkbox"/> 2	Completed Application Form
<input checked="" type="checkbox"/> 3	Completed Payroll Report
<input checked="" type="checkbox"/> 4	Applicant's a minimum of \$350,000's premium in TN
<input checked="" type="checkbox"/> 5	Security--minimum requirement at \$500,000, TCA 50-6-405(b)(1)
<input checked="" type="checkbox"/> 6	Excess Policy, Tenn. Comp, R. & Reg. Ch. 0780-1-83-.06(1)
<input checked="" type="checkbox"/> 7	Three most recent years of loss run reports
<input checked="" type="checkbox"/> 8	Three most recent years of Audited Annual Statements
<input checked="" type="checkbox"/> 9	Three most recent years of experience modifications or 1.00 rating
<input checked="" type="checkbox"/> 10	Actuarial Opinion – Feasibility study Tenn. Comp. R. & Reg. Ch. 0780-1-83.04(3)(h)
<input checked="" type="checkbox"/> 11	List of all locations including address and number of employees at each location. Tenn. Comp. R. & Reg. Ch. 0780-1-83-.04(2)(b)(iv) and (3)(h)
<input checked="" type="checkbox"/> 12	Name, address, phone, e-mail of person in TN who is handling claims, TCA 50-6-413
<input checked="" type="checkbox"/> 13	If using TPA, Tenn. Comp. R. & Reg. Ch. 0780-1-81-.02(13)
<input checked="" type="checkbox"/> 14	Completed Anti-Fraud Plan TCA § 50-47-112
<input checked="" type="checkbox"/> 15	Parent Guarantee, Tenn. Comp. R. & Reg. Ch. 0780-1-83-.04(4)
<input checked="" type="checkbox"/> 16	Federal Employer Identification Number
<input checked="" type="checkbox"/> 17	Agreement to Anti-Fraud Plan
<input checked="" type="checkbox"/> 18	Agreement to Premium Taxation
<input checked="" type="checkbox"/> 19	Agreement to Excess Policy
<input checked="" type="checkbox"/> 20	Agreement to Surety

**Notes:**

**Item # 5 & # 6 should be submitted after the Company has received preliminary approved of all required items from the Insurance Division.**



**STATE OF TENNESSEE**  
**DEPARTMENT OF COMMERCE AND INSURANCE**

Insurance Division – Self-Insurance Section  
500 James Robertson Parkway, 4<sup>TH</sup> Floor  
Nashville, Tennessee 37243-1132  
Phone: (615) 741-1756  
Fax: (615) 532-2788

Date: \_\_\_\_\_

Gentlemen:

The undersigned employer (applicant) submits the following statements and reports of qualifications to carry his own risk under provisions of the Workers Compensation Act of Tennessee.

1. Name of applicant: \_\_\_\_\_ Phone No. \_\_\_\_\_

2. Address: \_\_\_\_\_  
Street City County State Zip

3. The Applicant is: \_\_\_\_\_  
(State whether a corporation, public authority, other)

4. List below the title, names and addresses of officers and directors of the corporation

Title	Name	Address
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

5. Date of commencement of business: \_\_\_\_\_

6. Chartered under the Laws of the state of \_\_\_\_\_ on \_\_\_\_\_  
Date

7. If a foreign corporation, give date of registration in office of the Tennessee Secretary of State: \_\_\_\_\_  
Date

8. Has there been any change in corporate structure within the last two years? \_\_\_\_\_

If yes, explain: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

9. Has applicant any affiliates, subsidiaries, or divisions? \_\_\_\_\_ If so, give following information regarding same:

State whether affiliate, division or subsidiary	Name and office address	Character and location of business
_____	_____	_____
_____	_____	_____

10. Is Applicant a subsidiary? \_\_\_\_\_ If so, give name and address of Parent Company, and list all subsidiaries of same:

1. Parent Company is: \_\_\_\_\_

2. Its Subsidiaries are: \_\_\_\_\_

Name of subsidiary	Name and office address	City, State, Zip Code
_____	_____	_____
_____	_____	_____
_____	_____	_____

11. Description of employment: \_\_\_\_\_ For year ending \_\_\_\_\_

Locations in Tennessee	Kind of employment	Average number of employees in Tennessee	Actual payroll for all employees in Tennessee

Attach additional pages if necessary

12. Date when self-insurance is desired: \_\_\_\_\_

13. Name of current workers' compensation carrier: \_\_\_\_\_

14. Current workers' compensation premium paid in Tennessee: \_\_\_\_\_

15. What is the expiration date of you present policy? \_\_\_\_\_

16. What is your latest experience rating? \_\_\_\_\_ Please attach a copy of this rating.

17. Name of third party administrative your program? \_\_\_\_\_

# 18. Statement of Assets and Liabilities

Assets		Liabilities	
Cash on hand and on deposit	\$ _____	Notes Payable(ScheduleB)	\$ _____
Stocks (Schedule B)	\$ _____	Accounts Payable	_____
Bonds (Schedule B)	_____	Accrued Taxes	_____
Mortgages (Schedule A)	\$ _____	Delinquent Taxes	_____
Notes Receivable	_____	Other Payable (including accruals)	_____
Less allowances for notes past due	\$ _____	Deferred revenue or income	_____
Accounts Receivables	_____	Total Current Liabilities	\$ _____
Less allowances for accounts past due	\$ _____	Mortgage Indebtedness – Specify (showing maturities):	
Other receivables (including accruals)	\$ _____	_____	\$ _____
Inventories (note question 21)	\$ _____	_____	_____
Prepayment, insurance, rent taxes etc.	\$ _____	_____	\$ _____
Total Current Assets	\$ _____	Bond Indebtedness – Specify (showing maturities):	
Investments (long-term) Specify:		_____	\$ _____
_____	\$ _____	_____	_____
_____	_____	_____	_____
Other Assets and Deferred Charges Specify:		Deposit and other Trust Funds:	
_____	\$ _____	_____	\$ _____
_____	_____	_____	_____
_____	_____	_____	\$ _____
_____	\$ _____	Reserves – Specify:	
_____	_____	_____	\$ _____
_____	_____	_____	\$ _____
_____	_____	_____	\$ _____
Plant and Equipment	\$ _____	Other Liabilities – Specify:	
Real Estate (book value)	_____	_____	\$ _____
Building (cost)	_____	_____	\$ _____
Machinery and Equipment (cost)	_____	Net Worth:	
Furniture and Fixtures (cost)	_____	Capital Stock – preferred	\$ _____
Automobile, trucks, other vehicles (cost)	_____	Capital Stock – common	_____
Total	\$ _____	Paid-in surplus	_____
Less depreciation	_____	Earned surplus	_____
Total Assets	\$ _____	Total Net Worth	\$ _____
		Total Liabilities and Net Worth	\$ _____

Answer all the following questions and fill in all schedules.

19. Inventories

Class	Method of Inventory	Date Taken	Amount

Attach additional pages if necessary

20. Are any assets mortgaged or pledged, in addition to those listed in Schedule B, C and D? \_\_\_\_\_

Yes or No

If yes, Amount \_\_\_\_\_ Explain: \_\_\_\_\_

21. Contingent Liabilities – (not included in the above financial or periodical statement) – Specify each:

- (a) Notes re-discounted \_\_\_\_\_
- (b) Accommodations endorsements \_\_\_\_\_
- (c) Suretyships \_\_\_\_\_
- (d) Other guaranties \_\_\_\_\_
- (e) Goods held on consignment \_\_\_\_\_
- (f) \_\_\_\_\_

22. Have your books been audited by a certified public accountant? \_\_\_\_\_ If so please submit a copy.

Yes or No

**SCHEDULES SUPPLEMENTAL TO FINANCIAL OR PERIODICAL STATEMENT**

**SCHEDULE-A  
NOTES AND LOANS RECEIVABLE**

Name of Maker	Address	Secured? By What?	Amount

**SCHEDULE-B  
STOCKS AND BONDS OWNED**

Description (Specify)	Book Value	Current Market Value	Actual Cost	Are these in default as to principal or interest?

Attach additional pages if necessary.

**SCHEDULE-C  
REAL ESTATE AND OTHER PHYSICAL ASSETS LOCATED IN TENNESSEE OWNED BY APPLICANT**

Description and Location of Tennessee Property	Book Value	Assessed Value	Fire Insurance Carried on buildings	Amount of Liens on Property if any

Attach additional pages if necessary

**SCHEDULE-D  
NOTES PAYABLE**

Payable to whom	Maturity	Secured? By What?	Amount

Attach additional pages if necessary

23. For three fiscal years, inclusive of latest completed year. (Covering applicant's business as a whole.)

Items: (Omit cents)	Year ended 20	Year ended 20	Year ended 20
<b>Sales</b>			
<b>Total Assets</b>			
<b>Liabilities</b>			
<b>Net Worth</b>			
<b>Annual Profits or losses</b>			
<b>Dividends declared and paid</b>			
<b>Total Payroll</b>			

24. Is the applicant in default or in arrears on any obligations (including cumulative dividends) to its mortgage holders, bond holders, or stockholders? Amount? If so, specify or explain

25. Financial statements are prepared, (check): Quarterly \_\_\_\_\_ Semi-Annually \_\_\_\_\_ Annually \_\_\_\_\_  
On what calendar dates do such periodical statements become available? \_\_\_\_\_

26. Past three year's Accident Experience

	Date	Date	Date
Number of deaths			
Number of dismemberments			
Number of temporary disabilities exceeding 7 days duration			
Number of accidents of all kinds			

27. What arrangements have you made for first aid to insured employees? \_\_\_\_\_

28. What hospital facilities have you for injured employees? \_\_\_\_\_

29. To what doctors will you send your injured employees? \_\_\_\_\_

30. Describe provisions of contract for medical services, if any \_\_\_\_\_

31. Give Names and position of regular salaried employees who will handle your compensation cases?

Name	Position

32. Do you require applicant employees to submit to a medical examination by a physician or surgeon before assignment to permanent force? If so, what deficiencies are sufficient for rejection? \_\_\_\_\_

33. Is there in connection with your business, or in the manufacturing or handling of products, any special or catastrophe hazard? If so, give full description, stating the maximum number of employees at one time exposed to such hazards. \_\_\_\_\_

What power is used to operate your machinery? \_\_\_\_\_

**BUILDING OCCUPIED:**

Number of Stories	What floors do you occupy?	Maximum Number of Employees of Any one floor. Give Location.	Fire Escapes

Number of Elevators, State whether passenger or freight.	Give Number of Boilers and locations	Stairways to Exits. Give width.

34. Who will be the Excess Insurance Company to protect you from any incurred liability under the Workers Compensation Act of Tennessee and what will be your proposed self-insured retention: \_\_\_\_\_

Has a photocopy of this policy been placed on file in The Department of Commerce and Insurance? \_\_\_\_\_

35. Is you plant inspected by other than State Authority? \_\_\_\_\_

36. Do you have a department or individual that pays particular attention to safety methods of operation? If so, is that department or individual supplied with the Safety Orders promulgated by the Tennessee Department of Labor with reference to your business? \_\_\_\_\_

37. In consideration of the approval of this application, the applicant hereby expressly agrees as follows:

- That this privilege may be revoked by the Commissioner of Commerce and Insurance, as provided in Section §50-6-405, Tennessee Code Annotated.
- That the applicant, who is carrying catastrophe or excess coverage insurance, will file a photocopy of the policy with The Department of Commerce and Insurance.
- That the applicant shall file with the Commissioner an acceptable surety amounting to at least five hundred thousand dollars (\$500,000).
- That the employer will not solicit, receive or collect any money from employees or make any deduction from their wages for the purpose of discharging any part of the employer's liability under the Workers Compensation Act and that the employer will not permit any person with employer's knowledge to sell or try to sell medical or hospital tickets to the Company's employees for medical, surgical or hospital treatment required by law to be furnished to injured employees.
- When the applicant is a subsidiary company or a partnership, the Commissioner requires that the parent company, or any other company or persons holding stock in the applicant company, or a partner in the applicant partnership, shall give a satisfactory guarantee that the applicant will fully and promptly pay all sums which are or may become payable under the provisions of the Tennessee Workers' Compensation Law and under the terms of the agreement contained in this application.

38. RATING AGENCY: Indicate whether your company or parent company is rated my the following rating agencies:

Standard & Poors Corporation	
Moody's	
Dun & Bradstreet	
Other (specify)	



Signed \_\_\_\_\_ Employer

By \_\_\_\_\_

\_\_\_\_\_  
(Official Position)

### **AFFIDAVIT**

(The person subscribing the affidavit below should be the employer himself; or if the employer be a partnership, one of the partners; or if the employer be a corporation, its president, vice-president, secretary or treasurer.)

State of \_\_\_\_\_

\_\_\_\_\_ County

\_\_\_\_\_, first being sworn on oath, deposes and says that he is the person who signed the forgoing application for the employer therein named, and that he is acquainted with the affairs of said applicant employer, to which the representations and statements set forth in the forgoing application, knows the contents thereof and that said representations and statements therein contained are true to the best of his knowledge, information and belief.

\_\_\_\_\_  
(Affiant's Signature)

\_\_\_\_\_  
(Official Position)

Subscribed and sworn to before me at \_\_\_\_\_, this \_\_\_\_\_ day

Of \_\_\_\_\_, A.D., 20 \_\_\_\_\_.

\_\_\_\_\_  
(Notary Public)



STATE OF TENNESSEE  
THE DEPARTMENT OF COMMERCE AND INSURANCE  
4TH FLOOR, SELF-INSURANCE SECTION  
500 JAMES ROBERTSON PARKWAY  
NASHVILLE, TENNESSEE 37243-1132

SELF-INSURERS PAYROLL REPORT

ITEM 1. TO THE COMMISSIONER OF THE DEPARTMENT OF COMMERCE AND INSURANCE: \_\_\_\_\_ 20 \_\_\_\_\_.  
The undersigned, an employer operating under the provisions of the Tennessee Worker's Compensation Act, as Self-Insurer, submits the following information for the purpose of enabling the Insurance Commissioner to determine the amount of tax due the State of Tennessee under provision of Section 50-6-405, Tennessee Code Annotated.

ITEM 2. Name of Employer \_\_\_\_\_  
Address \_\_\_\_\_

ITEM 3. Figures contained in this report are for the purpose of adjusting the tax assessment made for the period of January 1, 20 \_\_\_\_\_, to December 31, 20 \_\_\_\_\_, and for making the assessment for the period of January 1, 20 \_\_\_\_\_, to December 31, 20 \_\_\_\_\_.

CODE	CLASSIFICATION OF OPERATIONS	AVERAGE NUMBER OF EMPLOYEES IN TENNESSEE FOR YEAR ENDING DEC. 31, 20 ____	ACTUAL/ESTIMATED PAYROLL OF ALL EMPLOYEES IN TENNESSEE FOR PERIOD OF
			_____ 20 ____ TO _____ 20 ____
ITEM 4.	USE TYPEWRITER EXCEPT FOR SIGNATURES.		
TOTAL			

NOTE IMPORTANT

1. CLERICAL OFFICE EMPLOYEES. — This classification shall include those employees with office duties only and having no other duty of any other nature in or about the employer's premises.
2. Unless the payroll below is subdivided into proper classifications, the highest rate will be used in calculating the premium.
3. If employer has multiple locations, please consolidate classifications.

ITEM 5. RETURN TOP COPY TO THIS OFFICE — RETAIN YELLOW FOR YOUR FILES  
The foregoing enumeration and description of employees includes all persons employed in the services of this employer in Tennessee in connection with the business operations above described to whom remuneration of any nature in consideration of service is paid, in whole or in part by bonuses, commissions, vacation pay, holidays or sickness periods, or on basis of piecework, or by store certificates, merchandise credits, or any substitute for money. Such form of payment shall be considered as wages to be included in the actual remuneration earned, and the total remuneration earned by each employee shall be reported excluding only the part of overtime as set forth in the basis of premium. This remuneration shall also include the President and Vice-President, Secretary or Treasurer of this employer in every instance where the Executive Officer actually performs such duties as are ordinarily undertaken by a Superintendent, Foreman, or worker, or whose duties include direct charge of the actual performance of any obligations of the risk. The entire payroll of such an Executive Officer shall be assigned without division to the highest rated classification which applies to any such duties undertaken by such Executive Officer for any part of his time. The Department of Insurance reserves the right to examine the books of this Employer at any time during the current or following year and any extension thereof so far as they relate to the remuneration earned by any employee of this employer.

I, \_\_\_\_\_ Name of Company.  
\_\_\_\_\_, (Title), of the above named company  
do hereby solemnly swear that the items of the foregoing account are correct and that they constitute the total amount of remuneration received by all employees in the State of Tennessee for the period stated therein to the best of my knowledge and belief.

\_\_\_\_\_  
Official and Title.

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_.

My Commission Expires \_\_\_\_\_.

\_\_\_\_\_  
Notary Public.

STATE OF TENNESSEE



DEPARTMENT OF COMMERCE AND INSURANCE  
4TH FLOOR, SELF INSURANCE SECTION  
500 JAMES ROBERTSON PARKWAY  
NASHVILLE, TN 37243-1132

Bond # \_\_\_\_\_

Effective \_\_\_\_\_

**BOND OF EMPLOYER CARRYING HIS OWN RIS**

KNOW ALL MEN BY THESE PRESENTS: That \_\_\_\_\_ a corporation  
under the laws of the State of \_\_\_\_\_,  
as principal, and \_\_\_\_\_, a corporation duly incorporate  
the State of \_\_\_\_\_  
held and firmly bound unto the State of Tennessee for the use and benefit of the employees of the principal and to the dependents  
in the sum of \_\_\_\_\_  
current money of the United States to be paid to the State of Tennessee, to the payment whereof we hereby bind ourselves and  
each of our heirs, executors, successors and assigns, jointly and severally, firmly, by these presents.

Sealed with our seal and dated, this \_\_\_\_\_ day of \_\_\_\_\_, A. D., 19 \_\_\_\_\_.

WHEREAS, the above bounden \_\_\_\_\_  
did on the \_\_\_\_\_ day of \_\_\_\_\_, 19 \_\_\_\_\_, file with the Commissioner of Insura  
Tennessee, his, her, their or its application for the privilege, under Section 50-6-405, Tennessee Code Annotated, and any an  
being a part of the Worker's Compensation Insurance Law, Chapter 12, of Title 50, Tennessee Code Annotated, of paying comper  
ing under said Law without insuring the same; and

WHEREAS, the Commissioner of Commerce and Insurance did, on the \_\_\_\_\_ day of \_\_\_\_\_  
this privilege upon the condition that the said principal enter into a bond in the penalty sum of \_\_\_\_\_ D  
among other things, that said principal shall abide by and perform the requirements of the aforesaid Law and any amendments  
ence to paying compensation and furnishing medical, surgical and other services and funeral expenses to said employees and their

NOW, THEREFORE, the condition of this obligation is such that if the above bounden \_\_\_\_\_

shall well and truly, from time to time, and at all times thereafter, abide by and perform all requirements of the aforesaid Law and  
thereto, respecting the payment of compensation and furnishing at its own cost and expense, of medical, surgical and other se  
expenses to said employees and their dependents, then this obligation shall be void, otherwise to remain in full force and effect vir

This bond is and shall be construed to be a direct obligation by the principal and surety herein either jointly or severally,  
may be entitled to such sum for medical, surgical and other services, funeral expenses or compensation and may be sued upon a  
name or names of such person or persons.

This Bond may be cancelled at any time by the surety upon giving thirty (30) days' written notice to the Commissioner  
Insurance of the State of Tennessee, in which event the liability of the surety shall, at the expiration of the said thirty days, ce  
except as to such liability of the principal on account of injury or death to any of its employees, as may have accrued prior to the  
thirty days, it being understood that the surety shall be liable, within the penal sum mentioned herein, for the default of the pr  
charging any liability on its part accruing during the life of this obligation.

IN WITNESS WHEREOF, The said employer has caused these presents to be signed in its name by its President, and  
attached hereto, attested by its Secretary, and the said Surety has likewise caused these presents to be signed in its name by its  
corporate seal attached hereto, attested by its Secretary.

\_\_\_\_\_  
Secretary  
\_\_\_\_\_  
Secretary  
\_\_\_\_\_  
Secretary  
\_\_\_\_\_  
Per \_\_\_\_\_  
President  
\_\_\_\_\_  
Per \_\_\_\_\_  
President or authorized officer of Sur  
\_\_\_\_\_  
Secretary of the employer corporatio

I, \_\_\_\_\_, Secretary of the employer corporatio  
certify that by resolution adopted on \_\_\_\_\_ day of \_\_\_\_\_  
the Board of Directors of the employer aforementioned directed and empowered the execution of this Bond.

In witness whereof I hereunto set my hand and affix my official seal.

(PLEASE ATTACH POWER OF ATTORNEY)

(USE THIS FORM OF ACKNOWLEDGMENT IF THE EMPLOYER IS A CORPORATION)

STATE OF \_\_\_\_\_,  
\_\_\_\_\_ COUNTY.

This \_\_\_\_\_ day of \_\_\_\_\_, A. D. 19 \_\_\_\_\_, personally came before me, \_\_\_\_\_  
Notary Public of \_\_\_\_\_ County, State of \_\_\_\_\_, who being by n  
that he knows the common seal of \_\_\_\_\_ and is acquainted with \_\_\_\_\_ who is president of sai  
that he, the said \_\_\_\_\_, is the secretary of the said corporation and saw the said president sign the fore  
and saw the said common seal of said corporation affixed to said instrument by said president (or that he, the said \_\_\_\_\_  
secretary as aforesaid, affixed said seal to said instrument), and that he, the said \_\_\_\_\_ signed his name ir  
execution of said instrument in the presence of said president of said corporation.

Witness my hand and official seal, this the \_\_\_\_\_ day of \_\_\_\_\_, 19 \_\_\_\_\_.

## INDEMNITY AGREEMENT

KNOW ALL MEN BY THESE PRESENT, that we \_\_\_\_\_,  
a corporation, organized and existing under and by virtue of the laws of the State of \_\_\_\_\_, for  
and in consideration of the State of Tennessee authorizing \_\_\_\_\_, a  
corporation, to operate as a self-insurer under the provisions of the Workers' Compensation Law of the State of  
Tennessee do hereby guarantee the payment by said \_\_\_\_\_ of any and all valid  
claims for compensation and other benefits made against it under the said Workers' Compensation Law for injury  
or death to any of its employees or former employees and in the event that said \_\_\_\_\_ shall not  
pay or cause to be paid directly to claimants the benefits due or that may become due under said Law, then the  
undersigned \_\_\_\_\_, covenants and agrees that it will pay to all such claimants the  
benefits due, including a reasonable attorney fee incurred by said claimants in any action brought on this agreement,  
with the expressed knowledge and understanding that the execution and acceptance of this agreement is for the  
benefit of unknown and unnamed employees and former employees of said \_\_\_\_\_, and  
that said \_\_\_\_\_ does hereby recognize this agreement as a direct financial  
guarantee to said employees or former employees.

PROVIDED HOWEVER, that \_\_\_\_\_, shall have a right to cancel and  
terminate this agreement at any time upon giving the State of Tennessee at least sixty (60) days written notice of its  
desire to do so; provided further, that such cancellation shall not affect its liability as to any benefits payable for  
injuries occurring prior to the date of cancellation specified in such notice.

This agreement shall be effective as of \_\_\_\_\_, 20\_\_\_\_.

Signed, sealed and delivered this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

By: \_\_\_\_\_

( Official Position )

ATTEST:

\_\_\_\_\_  
Secretary

CORPORATE SEAL

**AGREEMENT TO ANTI-FRAUD PLAN**  
**(ANTICIPATED SELF-INSURED WORKERS' COMPENSATION)**  
Tenn. Code Ann. §56-47-112

To Whom It May Concern:

Please accept this statement as confirmation that:

\_\_\_\_\_, a company seeking a  
(Name of Applicant Company)

Certificate of Authority from the Tennessee Division of Insurance to self-insure its Workers' Compensation, hereby acknowledges that:

Anti-Fraud Plan obligation is due upon receiving Authority from the Division.

I, \_\_\_\_\_, hereby attest that I am qualified to confirm  
(Signature of Officer of Company)

this agreement on behalf of the Company.

Sworn to and subscribed before me this

\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

*(Notary Seal)*

\_\_\_\_\_  
(Signature of Notary)

My commission expires \_\_\_\_\_.

**AGREEMENT TO PREMIUM TAXATION  
(ANTICIPATED SELF-INSURED WORKERS' COMPENSATION)**

Tenn. Code Ann. §50-3-101, Tenn. Code Ann. §56-4-207,  
and Tenn. Comp. R. & Regs, 0780-1-83-.10(1)

To Whom It May Concern:

Please accept this statement as confirmation that:

\_\_\_\_\_, a company seeking a  
(Name of Applicant Company)

Certificate of Authority from the Tennessee Division of Insurance to self-insure its Workers' Compensation, hereby acknowledges that:

Premium tax obligations are due upon receiving Authority from the Division.

I, \_\_\_\_\_, hereby attest that I am qualified to confirm  
(Signature of Officer of Company)

this agreement on behalf of the Company.

Sworn to and subscribed before me this

\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

*(Notary Seal)*

\_\_\_\_\_  
(Signature of Notary)

My commission expires \_\_\_\_\_.

**AGREEMENT TO EXCESS POLICY**  
**(ANTICIPATED SELF-INSURED WORKERS' COMPENSATION)**  
Tenn. Comp. R. & Regs. 0780-1-83-.06(1)

To Whom It May Concern:

Please accept this statement as confirmation that:

\_\_\_\_\_, a company seeking a  
(Name of Applicant Company)

Certificate of Authority from the Tennessee Division of Insurance to self-insure its Workers' Compensation, hereby agrees that:

Prior to, and as a condition of, receiving Authority from the Division, the Company will obtain an Excess Policy that is compliant with the above rules:

- (a) The Limit must be Statutory; and
- (b) If the Self-Insured Retention is greater than \$500,000, the Surety requirement's amount may include a penalty.

I, \_\_\_\_\_, hereby attest that I am qualified to confirm  
(Signature of Officer of Company)

this agreement on behalf of the Company.

Sworn to and subscribed before me this

\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

*(Notary Seal)*

\_\_\_\_\_  
(Signature of Notary)

My commission expires \_\_\_\_\_.

**AGREEMENT TO SURETY**  
**(ANTICIPATED SELF-INSURED WORKERS' COMPENSATION)**  
Tenn. Code Ann. §50-6-405(b)(1)

To Whom It May Concern:

Please accept this statement as confirmation that:

\_\_\_\_\_, a company seeking a  
(Name of Applicant Company)

Certificate of Authority from the Tennessee Division of Insurance to self-insure its Workers' Compensation, hereby agrees that:

Prior to, and as a condition of, receiving Authority from the Division, the Company will obtain Surety of an amount of no less than \$500,000, or an amount to be calculated using the guidelines provided by the Tennessee Division of Insurance.

I, \_\_\_\_\_, hereby attest that I am qualified to confirm  
(Signature of Officer of Company)

this agreement on behalf of the Company.

Sworn to and subscribed before me this

\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

(Notary Seal)

\_\_\_\_\_  
(Signature of Notary)

My commission expires \_\_\_\_\_.



REGISTRATION FORM FOR  
WORKERS' COMPENSATION ANTI-FRAUD PLAN\*

Mark one box: ☐ Original Filing ☐ Re-filing of Modified Plan

Company Name: \_\_\_\_\_

Contact Person: \_\_\_\_\_

Position Title: \_\_\_\_\_

Phone: (\_\_\_\_) - \_\_\_\_ - \_\_\_\_\_

Location Address: \_\_\_\_\_

City: \_\_\_\_\_ ST: \_\_\_\_\_ ZIP: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City: \_\_\_\_\_ ST: \_\_\_\_\_ ZIP: \_\_\_\_\_

Mark one box: ☐ Insurance Company ☐ Self-insured Employer  
☐ Self-insured Group

If Self-insured Employer or Group are you using a TPA to manage your plan? ☐ Yes ☐ No

TPA Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ ST: \_\_\_\_\_ ZIP: \_\_\_\_\_

Contact Person: \_\_\_\_\_

Phone: (\_\_\_\_) - \_\_\_\_ - \_\_\_\_\_

Signed at: \_\_\_\_\_ By: \_\_\_\_\_

Date: \_\_\_\_\_ Title: \_\_\_\_\_

\*This form, or the information required by this form, must be a cover to your anti-fraud plan.

SUMMARY REPORT FORM FOR  
WORKERS' COMPENSATION ANTI-FRAUD PLAN

Company Name: \_\_\_\_\_

Report prepared by: \_\_\_\_\_

Firm: \_\_\_\_\_

Address: \_\_\_\_\_ St: \_\_\_\_\_  
ZIP: \_\_\_\_\_

Reporting period: \_\_\_\_\_

1. Describe the resources committed to the combating of fraud in this reporting period (number of employees, investigations performed by contracted investigators, costs of the resources used, etc.).
2. List the number of instances and amount of fraud discovered in this reporting period.
3. List the number and amount of recovery during this reporting period.
4. Describe, in as much detail as possible, any and all discovered criminal activities of an organized nature.
5. List the claim costs for discovered fraud from claims activity.
6. Describe the internal activities taken to detect fraud among company employees.

THIS FORM MUST BE SIGNED AND DATED

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

*This form must be filed on or before March 31.*